

<b>SUBJECT:</b>	Fermilab Corrective & Preventive Action Plan – Form 1 - Simple	<b>NUMBER:</b>	1004.1001 FORM 1
<b>RESPONSIBILITY:</b>	Quality Assurance Manager	<b>REVISION:</b>	000 C4
<b>APPROVED BY:</b>	Head, Office of Quality and Best Practices	<b>EFFECTIVE:</b>	08/16/09

### CAP INITIATION – CORRECTIVE ACTION REQUEST

This section to be completed by the person requesting simple corrective / preventive action

**Requestor Name:** Susan Rahimpour      **Organization:** OQBP      **Phone:** 5065

**Problem/Opportunity To Be Addressed:** The Fermilab Records Management Program required by the IQA, Chapter 4 “Document & Records”, section 4.4, “Records Management” states that “Fermilab’s policies and procedures for a centralized records management system are maintained by Records Management and are described in more detail in the Records Management Policy and Procedures”. The Nuclear Materials Manager follows the processes set up by administrative staff within the ES&H Section, but is not aware of the name or details within the Records Management and Policies and Procedures document.

**Unique Tracking Number:** DS-YYYYMMDD-xx: ES-20100325-01  
(DS=Div or Sec, YYYYMMDD-xx = Date Opened, x=1, 2, ...n)

**Other Tracking Number:**   
(Ex: ESHTRAK #, DMR # etc)

**Responsible Person:** Kathy Graden      **Organization:** ES&H Radiation Protection Group  
**Phone:**

**\*Comments:**

### CAP DEVELOPMENT      CAP Version (increment by 1 with each change) 005

This section to be completed by the Responsible Person

#### Describe the Actual Problem/Opportunity, and What Caused it (Simple Root Cause):

The Nuclear Materials Manager was unaware of Fermilab's Business Services Section Records Management Policies and Procedures referenced in the Integrated Quality Assurance Manual, Chapter 4, "Documents and Records," Section 4.4, "Records Management" dated October, 2008.

#### Remedial/Compensatory, Corrective, and/or Preventive, actions being taken and

(where applicable) **Initial Lessons Learned:** Nuclear Materials Program records are presently being appropriately retained, but the file plan to audit that against presently does not exist. In order to ensure that we are complying with the Retention and Disposition Schedule (RDS) requirements, a File Plan is

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being completed for the Radiation Protection Group, which includes the Nuclear Materials Program. The File Plan will include a list of the types of files and their appropriate retention timeframe in accordance with DOE requirements. Kathryn is working with the ESHS Records Manager to complete the file plan for the Radiation Protection Group. In addition, the Nuclear Materials Program Manager was trained in the basic policies and procedures of Fermilab Records management. This corrective action will be addressed when the ESHS has a completed file plan for the Radiation Protection Group, which includes the Nuclear Materials Program.

**Planned start date (YYYYMMDD):** 2010/05/04

**Key milestones and Dates:** 2010/08/05

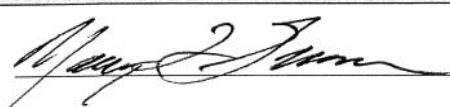
**Estimated date for completion (YYYYMMDD):** 2010/08/05

**Who will complete the work,** Phone:

**Who will perform verification and/or validation,** Susan Rahimpour Phone: 5065

\*Comments: All required trainings are completed (email from Kathryn Duerris attached) - ESHS Radiation Protection Group's Record System and File Plans were observed+verified (copies attached) - File Plans included RDSs, File list and CAP APPROVAL, File types.

This section to be completed and signed by persons identified below

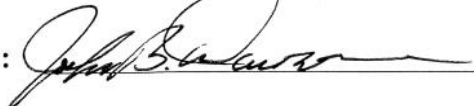
**\*\* Approval Manager:**  **Date:** 2010-08-09 (YYYYMMDD)


**\*Comments:** **Date:** (YYYYMMDD)

## CAP CLOSURE

This section to be completed and signed by persons identified below

**Description of actions taken to implement (if different than plan):**

**\*\*Implemented By:**  **Date:** 08/09/10 (YYYYMMDD)

**\*\*^Verified By:**  **Date:** 2010 08 09 (YYYYMMDD)

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<b>*Comments:</b> _____
<div style="display: flex; justify-content: space-between; align-items: flex-start;"> <div style="flex: 1;"> <b>** Acceptance Requestor:</b> <u>Susan Rahempou</u> </div> <div style="flex: 1; text-align: right;"> <b>Date:</b> <u>2010 08 09</u>            (YYYYMMDD)         </div> </div> <div style="margin-top: 10px;"> <b>*Comments:</b> _____         </div>

See Fermilab Corrective Action Plan Guide to Form 1 for a completed example